Safety Attribute Inspection (SAI) Data Collection Tool
1.3.10 Parts / Material Control / SUP (AW)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To ensure that aircraft components, parts and materials meet or exceed their original type design or properly altered condition.

Objective (FAA oversight):

- To determine if the certificate holder's Parts / Material Control / suspected unapproved parts (SUP) process meets all applicable requirements of Title 14 of the Code of Federal Regulations (14 CFR) and Federal Aviation Administration (FAA) policies.
- To determine if the certificate holder's Parts / Material Control / SUP process incorporates the safety attributes.
- To identify any shortfalls in the certificate holder's Parts / Material Control / SUP process.

Specific Instructions:

- Intentionally left blank

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:

  121.105
  121.123
  121.135(a)(1)
  121.135(b)(1)
  121.135(b)(2)
  121.135(b)(3)
  121.367
  121.369(b)
  121.375
  45.14

Related CFRs & FAA Policy/Guidance:

- Related CFRs:

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- FAA Policy/Guidance:

  FSAW 05-09
  AC 20-62D Eligibility, Quality, and Identification of Aeronautical Replacement Parts
  AC 21-29B Detecting and Reporting Suspected Unapproved Parts

SAI SECTION 1 - PROCEDURES ATTRIBUTE	
Objective: Procedures, instructions, and information contained in the certificate holder's manual are documented methods for accomplishing a process. Policies contained in the certificate holder's manual should establish the certificate holder's compliance posture. Policies may not be stand-alone statements but may be embedded within procedures, instructions, or information regarding a particular regulatory requirement. The questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder's manual has documented or prescribed methods of accomplishing the process requirements that provide answers to the associated questions regarding who, what, when, where, and how. This section contains policy questions, procedural questions, and instructional or informational questions pertaining to various types of certificate holder requirements such as actions, prohibitions, or resources (i.e., personnel, facilities, equipment, technical data, etc.).	
Tasks	
	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the supplemental information section of this DCT.
2.	Review the duties and responsibilities for management and other personnel identified by the certificate holder who accomplish the Parts / Material Control / SUP process.
3.	Review the certificate holder's manual to ensure that it contains policies, procedures, instructions, and information necessary for the Parts / Material Control / SUP process.

Questions		
	To meet this objective, the inspector must answer the following questions:	
1.	Does the content of the certificate holder's manual meet the specific regulatory and FAA policy requirements for a Parts / Material Control / SUP process:	
1.1.	Does the information contained in the certificate holder's manual require the identification of parts, components, and material? SRRs: 121.369(b); 45.14 *Related Design JTIs:* 1. Check that the Certificate Holder has specified, within its manual system, instructions to ensure all aircraft parts and materials, which are subject to be installed on an operational aircraft, are in an airworthy condition. *Sources:* 121.135(b)(16); 121.135(b)(19); 121.369(b)(5); 121.369(b)(6) *Interfaces:* 1.1.1(AW); 1.2.1(AW); 1.3.1(AW); 1.3.3(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 5.1.1(AW) 2. Check that the Certificate Holder's manual system includes a program with procedures to ensure the airworthiness of replacement aircraft parts and materials (maintenance and preventive maintenance). *Sources:* 121.135(a)(1); 121.135(b)(16); 121.135(b)(17); 121.369(b)(5) *Interfaces:* 1.1.1(AW); 1.2.1(AW); 1.3.1(AW); 1.3.3(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 4.2.1(AW); 5.1.1(AW) 3. Check that the Certificate Holder's manual contains a program with procedures identifying the rejection or acceptance standards and limitations of aircraft parts and materials. *Sources:* 121.135(b)(16); 121.135(b)(17); 121.369(b)(3); 121.369(b)(5); 121.369(b)(6); 121.375 *Interfaces:* 1.1.1(AW); 1.2.1(AW); 1.3.1(AW); 1.3.3(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 4.2.1(AW); 5.1.1(AW)	☐ Yes ☐ No, Explain

	4. Check that the Certificate Holder's manual system has information to include time limitations for applicable aircraft parts and materials. *Sources:* 121.135(b)(16); 121.135(b)(17); 121.369(b)(5) *Interfaces:* 1.1.1(AW); 1.3.1(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 5.1.1(AW) 5. Check that the Certificate Holder's manual system has procedures specifying how it keeps records of the current status of life-limited parts. *Sources:* 121.135(b)(16); 121.135(b)(17); 121.369(b)(5); 121.380(a)(2)(iii) *Interfaces:* 1.1.1(AW); 1.2.1(AW); 1.3.1(AW); 1.3.2(AW); 1.3.3(AW); 1.3.4(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 4.2.1(AW); 4.2.2(AW); 5.1.1(AW)	
1.2.	Does the information contained in the certificate holder's manual provide instructions and information identifying the requirements for incoming documentation of parts, components, and material? SRRs: 121.135(a)(1); 121.369(b); 45.14 *Related Design JTIs:* 1. Check that the Certificate Holder's manual system includes a program that ensures the preservation of aircraft parts and materials (maintenance and preventive maintenance). *Sources:* 121.135(a)(1); 121.135(b)(16); 121.135(b)(17); 121.369(b)(5) *Interfaces:* 1.1.1(AW); 1.2.1(AW); 1.3.1(AW); 1.3.3(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 4.2.1(AW); 5.1.1(AW) 2. Check that the Certificate Holder's manual system has instructions and procedures for preservation and replacement parts and materials (maintenance and preventive maintenance). *Sources:* 121.135(b)(16); 121.135(b)(17); 121.369(b)(5); 121.375 *Interfaces:* 1.1.1(AW); 1.3.1(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 4.2.1(AW); 5.1.1(AW)	☐ Yes ☐ No, Explain
1.3.	Does the information contained in the certificate holder's manual provide instructions and information for the storage of parts, components, and material? SRRs: 121.367; 121.369(b) *Related Design JTIs:* 1. Check that the Certificate Holder's manual system includes a program that ensures the preservation of aircraft parts and materials (maintenance and preventive maintenance). *Sources:* 121.135(a)(1); 121.135(b)(16); 121.135(b)(17); 121.369(b)(5) *Interfaces:* 1.1.1(AW); 1.2.1(AW); 1.3.1(AW); 1.3.3(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 4.2.1(AW); 5.1.1(AW) 2. Check that the Certificate Holder's manual has procedures to identify persons, with whom it has arranged for the preservation of aircraft parts and materials (maintenance and preventive maintenance), including a general description of that work. *Sources:* 121.135(b)(16); 121.369(a) *Interfaces:* 1.1.1(AW); 1.2.1(AW); 1.3.1(AW); 1.3.3(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 4.2.1(AW); 5.1.1(AW) 3. Check that the Certificate Holder's manual contains instructions pertaining to its requirements to manufacture owner or operator	☐ Yes ☐ No, Explain

	produced parts to maintain his own product. *Sources:* 121.135(b)(16); 121.369(b)(2); 21.303(a) *Interfaces:* 1.1.1(AW); 1.2.1(AW); 1.3.1(AW); 1.3.3(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW) 4. Check that the Certificate Holder's manual contains instructions pertaining to its requirements to manufacture owner or operator produced parts to alter his own product. *Sources:* 121.135(b)(16); 21.303(a) *Interfaces:* 1.1.1(AW); 1.2.1(AW); 1.3.1(AW); 1.3.3(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW) 5. Check that the Certificate Holder's manual system has instructions and procedures for preservation and replacement parts and materials (maintenance and preventive maintenance). *Sources:* 121.135(b)(16); 121.135(b)(17); 121.369(b)(5); 121.375 *Interfaces:* 1.1.1(AW); 1.3.1(AW); 1.3.7(AW); 1.3.14(AW); 1.3.21(AW); 1.3.22(AW); 4.2.1(AW); 5.1.1(AW)	
1.4.	Does the certificate holder's manual system have information identifying the training requirements for its personnel ensuring they are fully informed about procedures and techniques in determining adequacy of work with regard to handling aircraft parts and materials? SRRs: 121.375	☐ Yes ☐ No, Explain
1.5.	Does the certificate holder's Parts / Material Control / SUP process comply with the guidance contained in AC 20-62D?	☐ Yes ☐ No, Explain
1.6.	Does the certificate holder's Parts / Material Control / SUP process comply with the guidance contained in AC 21-29B?	☐ Yes ☐ No, Explain
2.	Does the certificate holder's manual contain general policies for the Parts / Material Control / SUP process that comply with the SRRs? SRRs: 121.105; 121.123; 121.135(b)(1)	☐ Yes ☐ No, Explain
3.	Does the certificate holder's manual reference the appropriate Federal Aviation Regulations listed in the Supplemental Information section of this safety attribute inspection (SAI)? SRRs: 121.135(b)(3)	☐ Yes ☐ No, Explain
4.	Does the certificate holder's manual contain the duties and responsibilities for personnel who will accomplish the Parts / Material Control / SUP process? SRRs: 121.135(b)(2)	☐ Yes ☐ No, Explain
5.	Does the certificate holder's manual include instructions and information for personnel to meet the requirements of the Parts / Material Control / SUP process? SRRs: 121.135(a)(1)	☐ Yes ☐ No, Explain

SAI SECTION 1 - PROCEDURES ATTRIBUTE Drop-Down Menu	
1.	No procedures, policy, instructions or information specified.
2.	Procedures or instructions and information do not identify (who, what, when, where, how).
3.	Procedures, policy or instructions and information do not comply with CFR.
4.	Procedures, policy or instructions and information do not comply with FAA policy and guidance.
5.	Procedures, policy or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen's Charts, etc.).
6.	Procedures, policy or instructions and information unclear or incomplete.
7.	Documentation quality (e.g., unreadable or illegible).
8.	Procedures, policy or instructions and information inconsistent across Certificate Holder manuals (FOM - Flight Operations Manual to GMM - General Maintenance Manual, etc.).
9.	Procedures, policy or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).
10.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
11.	Other.

SAI SECTION 2 - CONTROLS ATTRIBUTE
Objective: Controls are checks and restraints designed into a process to ensure a desired result. The questions in this section of the DCT are designed to assist the inspector in determining if checks and restraints are designed into the process to ensure the desired result is achieved. Controls should be written into the manual system to ensure that the most important manual policies, procedures or instructions, and information will be followed. Controls may be in the form of administrative controls, which are secondary or supplemental written procedures. Like written procedures, administrative controls also need to provide answers to questions regarding who, what, when, where, and how. Controls may also be in the form of engineered controls, such as automated features or mechanical actions or devices (i.e., safety devices, warning devices, etc.).
Tasks
To meet this objective, the inspector must accomplish the following tasks:
1. Review the control questions below.
2. Review the certificate holder's policies, procedures, instructions, and information to gain an understanding of the controls that it has documented.

Questions		
	To meet this objective, the inspector must answer the following questions:	
1.	Are the following controls built into the Parts / Material Control / SUP process:	
1.1.	Is there a control or controls in place to prevent unapproved parts from being installed on the certificate holder's aircraft?	☐ Yes ☐ No, Explain
1.2.	Is there a control or controls in place to ensure that the certificate holder maintains acquisition, retention, and traceability documents for parts and materials?	☐ Yes ☐ No, Explain
1.3.	Is there a control or controls in place to ensure that the certificate holder conducts incoming/receiving inspections in accordance with its policies and procedures?	☐ Yes ☐ No, Explain
1.4.	Is there a control or controls in place to ensure that the certificate holder uses trained and qualified personnel for its Parts / Material Control / SUP process?	☐ Yes ☐ No, Explain
1.5.	Is there a control or controls in place to ensure that the certificate holder properly disposes of its unserviceable and unsalvageable parts and material?	☐ Yes ☐ No, Explain
1.6.	Is there a control or controls in place to ensure that parts and material are properly protected and identified as to serviceability?	☐ Yes ☐ No, Explain
1.7.	Is there a control or controls in place to ensure that the certificate holder maintains a supply of spare parts required for the scope and complexity of its operation?	☐ Yes ☐ No, Explain
1.8.	Is there a control or controls in place to ensure that the certificate holder follows its SUP policies and procedures that remove unapproved parts that have entered the system?	☐ Yes ☐ No, Explain
1.9.	Is there a control or controls in place to ensure that the certificate holder provides adequate facilities for storing parts, components, and materials?	☐ Yes ☐ No, Explain
1.10.	Is there a control or controls in place to ensure that parts and materials with	☐ Yes

	shelf life limits are properly identified and controlled?	☐ No, Explain
1.11.	Is there a control or controls in place to ensure that the certificate holder properly segregates serviceable and unserviceable parts and materials?	☐ Yes ☐ No, Explain
2.	Does the certificate holder have a documented method for assessing the impact of any changes made to the controls in the Parts / Material Control / SUP process?	☐ Yes ☐ No, Explain

SAI SECTION 2 - CONTROLS ATTRIBUTE Drop-Down Menu	
1.	No controls specified.
2.	Documentation for the controls do not identify (who, what, when, where, how).
3.	Controls incomplete.
4.	Controls could be circumvented.
5.	Controls could be unenforceable.
6.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE
Objective: Process measurements are used by the certificate holder to measure and to assess its processes, to identify and to correct problems or potential problems, and to make improvements to the processes. The questions in this section of the DCT are designed to assist the inspector in determining if the certificate holder measures or assesses information to identify, analyze, and document potential problems with the process. Process measurements are a certificate holder's internal evaluation or auditing of the most important policies, procedures or instructions, and information associated with an element. To prevent the duplication of work, process measurements are most commonly addressed through a combination of auditing features contained in both the certificate holder's safety program/internal evaluation program (for operations and cabin safety-related issues) and the auditing function of the Continuous Analysis and Surveillance System (CASS) (for airworthiness or maintenance/inspection-related issues). The director of safety and the quality assurance department often work together to accomplish this function for the certificate holder. This approach requires amendment of the safety program/internal evaluation program audit forms or checklists and the CASS audit forms or checklists to include the specific process measurements for each element.

Tasks	
	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the process measurement questions below.
2.	Review the certificate holder's policies, procedures, instructions, and information to gain an understanding of the process measurements that it has documented.

Questions		
	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder's Parts / Material Control / SUP process include the following process measurements:	
1.1.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to prevent unapproved parts from being installed on its aircraft?	☐ Yes ☐ No, Explain
1.2.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to maintain acquisition, retention, and traceability documents for parts and materials?	☐ Yes ☐ No, Explain
1.3.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to conduct incoming/receiving inspections in accordance with its policies and procedures?	☐ Yes ☐ No, Explain
1.4.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to use trained and qualified personnel for its Parts / Material Control / SUP process?	☐ Yes ☐ No, Explain
1.5.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to follow its process and procedures for disposal of unserviceable and unsalvageable parts and materials?	☐ Yes ☐ No, Explain
1.6.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to properly protect and identify parts and materials as to serviceability?	☐ Yes ☐ No, Explain
1.7.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to maintain a supply of spare parts required for	☐ Yes ☐ No, Explain

	the scope and complexity of its operation?	
1.8.	Is there a process measurement or process measurements that would reveal when the Certificate Holder failed to follow its Suspected Unapproved Parts policies and procedures that remove unapproved parts that have entered into its system?	☐ Yes ☐ No, Explain
1.9.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to provide facilities for storing parts, components, and materials?	☐ Yes ☐ No, Explain
1.10.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to properly identify and control parts and materials with shelf life limits?	☐ Yes ☐ No, Explain
1.11.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to properly segregate serviceable and unserviceable parts and materials?	☐ Yes ☐ No, Explain
2.	Is there a process measurement or process measurements that would reveal if the certificate holder's policy, procedures, instructions, and information contained in its manual were not followed?	☐ Yes ☐ No, Explain
3.	Does the certificate holder document its process measurements results?	☐ Yes ☐ No, Explain
4.	Does the certificate holder's manual provide for the use of process measurement results to improve its programs?	☐ Yes ☐ No, Explain
5.	Does the organization that conducts the process measurements have direct access to the person with the responsibility for the Parts / Material Control / SUP process?	☐ Yes ☐ No, Explain

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE Drop-Down Menu
1. No process measurements specified.
2. Documentation for the process measurements does not identify (who, what, when, where, how).
3. Inability to identify negative findings.
4. No provisions for implementing corrective actions.
5. Ineffective follow-up to determine effectiveness of corrective actions.
6. Resources requirements (personnel, facilities, equipment, technical data).
7. Other.

SAI SECTION 4 - INTERFACES ATTRIBUTE	
Objective: Interfaces are used by the certificate holder to identify and to manage the interactions between processes. The questions in this section of the DCT are designed to assist the inspector in determining whether or not interactions between the policies, procedures or instructions, and information associated with other independent processes within the certificate holder's organization are documented. Written policies, procedures or instructions, and information that are interrelated and located in different manuals within the certificate holder's manual system must be consistent and complement each other. For the interfaces to be effectively managed, it is not only important to identify what the interfaces are, but it is imperative to document the specific location of the interfaces within the certificate holder's manual system.	
Tasks	
	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the interfaces associated with the Parts / Material Control / SUP process that have been identified along with the questions in Section 1, Procedures, of this DCT.
2.	Review the certificate holder's policies, procedures, instructions, and information to gain an understanding of the interfaces that it has documented.

Questions		
	To meet this objective, the inspector must answer the following questions: Note: The design job task items (JTIs) displayed with the questions in Section 1, Procedures, of this DCT identify potential interfaces (by element number) for this element.	
1.	Does the certificate holder's manual properly address the interfaces that are identified along with the questions in Section 1, Procedures of this DCT?	☐ Yes ☐ No, Explain
2.	Does the certificate holder's manual document a method for assessing the impact of any changes to the associated interfaces within the Parts / Material Control / SUP process?	☐ Yes ☐ No, Explain

SAI SECTION 4 - INTERFACES ATTRIBUTE Drop-Down Menu
1. No interfaces specified.
2. The following interfaces not identified within the Certificate Holder's manual system:
3. Interfaces listed are inaccurate.
4. Specific location of interfaces not identified within the manual system.
5. Other

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTES	
Objective: The questions in this section of the DCT address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)	
Tasks	
	To meet this objective, the inspector must accomplish the following tasks:
1.	Identify the person who has overall responsibility for the Parts / Material Control / SUP process.
2.	Identify the person who has overall authority for the Parts / Material Control / SUP process.
3.	Review the duties and responsibilities of the person(s), documented in the certificate holder's manual.
4.	Review the appropriate organizational chart.

Questions		
	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder's manual clearly identify who is responsible for the quality of the Parts / Material Control / SUP process?	☐ Yes ☐ No, Explain Name/Title:
2.	Does the certificate holder's manual clearly identify who has authority to establish and modify the policies, procedures, instructions and information for the Parts / Material Control / SUP process?	☐ Yes ☐ No, Explain Name/Title:
3.	Does the certificate holder's manual include the duties and responsibilities of those who manage the work required by the Parts / Material Control / SUP process? SRRs: 121.135(b)(2)	☐ Yes ☐ No, Explain
4.	Does the certificate holder's manual include instructions and information for those who manage the work required by the Parts / Material Control / SUP process? SRRs: 121.135(a)(1)	☐ Yes ☐ No, Explain
5.	Does the certificate holder's manual clearly and completely document the responsibility for this position?	☐ Yes ☐ No, Explain
6.	Does the certificate holder's manual clearly and completely document the authority for this position?	☐ Yes ☐ No, Explain
7.	Does the certificate holder's manual clearly and completely document their qualification standards for the person having responsibility for the Parts / Material Control / SUP process?	☐ Yes ☐ No, Explain
8.	Does the certificate holder's manual clearly and completely document their qualification standards for the person having authority to establish and modify the certificate holder's policies, procedures, instructions and information for the Parts / Material Control / SUP process?	☐ Yes ☐ No, Explain
9.	Does the certificate holder's manual clearly and completely document the procedures for delegation of authority for the Parts / Material Control / SUP	☐ Yes

	process?	☐ No, Explain

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTES Drop-Down Menu
1. Not documented.
2. Documentation unclear.
3. Documentation incomplete.
4. Other.